



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : **Handa et al.**

CERTIFICATE OF MAILING

Serial No. : **09/692,029**

I hereby certify that this paper and all enclosures referred to therein are being deposited with the United States Postal Service as First Class Mail with sufficient postage in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on September 15, 2004.

Filed : **October 19, 2000**

Title : **Method and System of Managing Mutual Early Termination Terms for the Electronic Trading of Financial Instruments**

Name of Person Mailing: Michael McGuire

Group : **3628**


Signature of Person Mailing

Examiner : **Nga B. Nguyen**

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure provisions of 37 C.F.R. § 1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor is this Information Disclosure Statement a representation that a search has been made (other than a search report of a foreign counterpart application or PCT International Search Report if submitted herewith).

1. ☒ Enclosures accompanying this Information Disclosure Statement are:
 - (1) Form PTO-SB/08;
 - (2) Copies of publication(s).
2. ☐ This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(b) before the latter of three months after the U.S. patent application filing date or the first Office Action on the merits. Accordingly, no fee or certification is required.
3. ☒ This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(c) after the first Office Action on the merits, but before a Final Office Action or a Notice of Allowance.

(Check either 3a or 3b.)

- 3a. ☒ The Certification Statement in Item 5 below is applicable. Accordingly, no fee is required.
- 3b. ☐ The \$180 fee set forth in 37 C.F.R. § 1.17(p) in accordance with 37 C.F.R. § 1.97(c) is to be charged to Skadden, Arps, Slate, Meagher & Flom LLP Deposit Account No. 19-2385.
4. ☐ This Information Disclosure Statement is filed under 37 C.F.R. § 1.97(d) after Final Office Action or Notice of Allowance, but before payment of Issue Fee. A Petition to the Commissioner is hereby made under 37 C.F.R. § 1.97(d) to request consideration of this Information Disclosure Statement. Please charge the \$180 fee set forth in 37 C.F.R. § 1.17 (p) to Skadden, Arps, Slate, Meagher & Flom LLP Deposit Account No. 19-2385.
- The Certification Statement in Item 5 below is applicable.
5. ☐ Certification Statement. *(Applicable if Item 3a or Item 4 is checked)*
- 5a. ☐ In accordance with 37 C.F.R. § 1.97(e)(1), it is certified that each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- 5b. ☒ In accordance with 37 C.F.R. § 1.97(e)(2), it is certified that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.
6. ☒ The Commissioner is authorized to charge any additional fee required or credit any overpayment for the Information Disclosure Statement to Skadden, Arps, Slate, Meagher & Flom LLP Deposit Account No. 19-2385.

Respectfully submitted,

Date: September 15, 2004

By: 

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Enclosures *(Form SB/08 and Reference(s))*



INFORMATION DISCLOSURE STATEMENT BY APPLICANT Sheet 1 of 1	App. No.	09/692,029
	Filing Date	October 19, 2000
	First Named Inventor	Handa et al.
	Art Unit	3628
	Examiner Name	Nga B. Nguyen
	Attorney Docket No.	ICOR-002 CIP

U. S. Patent Documents				
Examiner Initials	Cite No.	Document No.	Publication Date	Name
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	2.	5,655,088	08-1997	Midorikawa et al.
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	6.	5,717,989	02-1998	Tozzoli et al.
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Foreign Patent Documents					
Examiner Initials	Cite No.	Document No.	Publication Date	Name	T
	1.				

Examiner Signature		Date Considered	
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